



RECORDS RETENTION SCHEDULE



Prepared by
STATE RECORDS BRANCH
Public Records Division
Kentucky Department for Libraries and Archives

RECORDS RETENTION SCHEDULE

Signature Page

Personnel Cabinet

Agency

June 8, 1995

Schedule Date

Employee Benefits Division

Unit

June 8, 2006

Change Date

June 8, 2006

Date Approved By Commission

APPROVALS

The undersigned approve of the following Records Retention Schedule or Change:

Robert F. Schmitt
Agency Head

6-8-06

Date of Approval

Dena McGuire
Agency Records Officer

6-8-06

Date of Approval

Richard J. Fein
State Archivist and Records Administrator
Director, Public Records Division

June 8, 2006
Date of Approval

[Signature]
Chairman, State Archives and Records Commission

6-8-06

Date of Approval

The undersigned Public Records Division staff have examined the record items and recommend the disposition as shown:

Thomas Getman
Records Analyst/Regional Administrator

June 8, 2006

Date of Approval

[Signature]
Appraisal Archivist

June 8, 2006
Date of Approval

[Signature]
State/Local Records Branch Manager

8 June 06
Date of Approval

The determination as set forth meets with my approval.

Brian L. [Signature]
Auditor of Public Accounts

6-8-2006
Date of Approval

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

Schedule Date: June 08, 1995

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Personnel Cabinet
Deferred Compensation

Series	Records Title		Contents	Retention		
	and Description	Function and Use		Disposition Instruction		
03547	Employee Participant File (Inactive) - (Electronic) - (Series is scanned into Cabinet's image management system) (C) KRS 61.878 (1) (a)	This series documents a participant's deferred compensation activity. The file reflects the participant's termination of employment, and payout option. The Deferred Compensation program is a means for state, city, or county employees to set aside or defer pre-taxed (federal or state) dollars. The purpose is to supplement retirement income. It is governed by the Internal Revenue Service, Section 457 or 401K. Reference activity to the file is to verify payout amounts, meet audit requirements (prior to inactive status), correction of statements, and/or to reactivate a file. Automation of the information began in September, 1983, under contract with the National Deferred Compensation, Inc. (NDCI) of Columbus, Ohio. The Deferred Compensation Branch is connected by modem to the IBM AS/400 in Columbus. Information retained electronically includes: social security number, name, address, salary, participation activity statement value, employer identification, and beneficiary information. Information in the manual file is very similar to the electronic file, however, the hard copy does provide required signatures, if necessary. Information is input from this agency. NDCI provides security for their system.	Series contains: participant agreement; copy of payroll card; beneficiary form; correspondence form; participant statements of account values; payout form; copies of checks; illustrations of accumulations; amendments; financial hardship date; birth/death certificate; verification of termination from employer	Agency: I	Records Center: 5	Archives Center:
				Transfer hard copy file to the State Records Center three years after payout of all benefits. Delete electronic file after eight years, and audit		

STATE AGENCY RECORDS RETENTION SCHEDULE

Personnel Cabinet
Employee Insurance Department
Group Health

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
04893	Health Enrollment Application File - (Electronic) - (Series is scanned into the Cabinet's image management system) (C) KRS 61.878 (1) (a) Change Date: 12/9/1999 (V)	This series documents the enrollment in or changes to the group health insurance program provided through the Personnel Cabinet. Individuals are required to enroll, upon employment in the state government system. Changes to policies are allowed when members incur a qualifying event, such as marriage, divorce, birth of children. Supporting documentation must be provided. Eligible members include: Board of Education employees; state employees; health department employees; Kentucky Retirement System retirees; Kentucky Teacher's Retirement System retirees; judicial and legislative retirees. The health insurance status of all members referenced above is maintained by the Cabinet, provided the member meets the eligibility requirements as described in the group contract. The individual agency's insurance coordinator submits applications and documentation to the Benefits Data Branch. Eligibility information is then processed and forwarded electronically to the appropriate insurance company. In October 1998, the Cabinet assumed the processing of health insurance applications for plan year 1999. Previously the processing of applications was the responsibility of the Health Purchasing Alliance. The Alliance was abolished in 1998. Note: It is scanned into the Cabinet's Personnel Management Imaging System.	Series contains: employee/retiree information (including name, social security number, date of birth); plan selection; spouse and dependent information; prior health coverage; waiver of coverage; employee and coordinator signatures; and flexible spending account contributions	Agency: I	Records Center:	Archives Center:
				Destroy three years after termination of eligibility		
04894	Group Health Insurance Contract File - (Includes bids and requests for proposals) Change Date: 12/9/1999 (V)	This series documents the bid process and resulting contracts for employee group health insurance. All state employees and retirees are given the opportunity each year, usually in September and October, to select new health insurance plans. The rates for such plans are approved by the Department of Insurance. Requests for proposals are handled through the Finance and Administration Cabinet, with evaluations and contract negotiations conducted by the Personnel Cabinet. Contract agreements are generally completed in May of each year, in preparation for the health insurance open enrollment period held in the latter part of each year. In 1999, the Cabinet assumed responsibility for the administration of the group health insurance program. Previously, the responsibility resided with the Health Purchasing Alliance. The Alliance was abolished in 1998.	Series contains: Correspondence; requests for proposals; copy of the Certificate of Coverage (for members); copies of provider listings; contracts; member application forms	Agency: I	Records Center:	Archives Center:
				Destroy five years after termination of contract, and audit		

STATE AGENCY RECORDS RETENTION SCHEDULE

Personnel Cabinet
Employee Insurance Department
Group Health

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
04421	Self-Insured Kentucky Kare Plan File (V)	This series documents the planning, development and administering of the Kentucky Kare self-insurance health plan. Under the terms of KRS 18A.2281, the Personnel Cabinet has the authority to establish a fund to provide for self-insurance benefits comparable to those paid under a contract procured by the Finance and Administration Cabinet. Involved in the planning and development is a third party administrator for handling claims, subrogation and coordination of benefits, customer service, and some marketing. There is an administrator to handle dental claims. A Utilization Review Company determines the medical necessity and appropriateness of surgery or tests and examinations, according to the plan design for members. The review company consists of doctors and nurses that set guidelines for medical professionals regarding insurance benefits; for example, what is necessary to determine a thorough diagnosis for the patient/member without unnecessary tests or surgical procedures. The Certificate Book is a product of the completion of the plan, agreed upon by the state employees who enter into the plan by application. State employees include not only employees of the executive branch of state government, but teachers and school administrators, members of the judicial and legislative system, circuit courts, commonwealth attorneys, and retirees.	Series contains: correspondence; application; waiver; claim forms; contractual correspondence established procedures; benefits; Certificate Book; Health Choice Book	Agency: 5	Records Center: 3	Archives Center:
				Transfer to the State Records Center. Destroy after audit		
04422	Annual Utilization Report File (C) KRS 61.878 (1) (a) - Case management	This series documents the benefit utilization of Kentucky Kare members and related costs. It is provided by the Utilization Review Company which works to determine the necessity and appropriateness of medical tests or procedures related to determining a diagnosis of or a solution for a member's medical needs. The report helps to plan future benefit designs, and ensures the plan is adequately funded. The report is also used to compare the potential cost of preventive care versus the cost involved once a problem has become too severe.	Series contains: utilization summary; case management; physician profile report; home health and hospice; pre-natal program information (includes Workers' Compensation Reports)	Agency: 3	Records Center: 2	Archives Center:
				Transfer to the State Records Center. Destroy after audit		
04423	Flexible Benefits Program File	This series documents the development of the flexible benefits program and the perimeters used in administering the program. The program defines the use of the benefits. As provided for in KRS 18A.227, any employee who desires to participate in the options offered under the plan may direct that the options be funded through payroll deduction. The requirements of the plan must satisfy Section 125 of the federal Internal Revenue Code. It also defines the use of the health care and dependent care spending accounts.	Series contains: enrollment form; waiver of premium conversion; reimbursement form; Commonwealth Choice Handbook	Agency: 5	Records Center:	Archives Center:
				Destroy after audit		

STATE AGENCY RECORDS RETENTION SCHEDULE

Personnel Cabinet
Employee Insurance Department
Group Health

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
04424	Health Maintenance Organization (HMO) Contract File (V)	This series documents the development of the application process resulting in the contract plan with a health maintenance organization (HMO). An HMO is defined as any organization or company who provides, directly or through arrangements with others, health care services to individuals voluntarily enrolled with such an organization on a predetermined or fixed prepayment basis. All state employees for whom insurance or health coverage is provided are given an option annually to select either standard coverage or coverage by an HMO. The Department of Insurance has approved the rates submitted by the HMOs. The file reflects the benefits negotiated. The Secretary of the Finance and Administration Cabinet is authorized to provide contracting for maintaining insurance, prepaid dental plan coverage, and HMO coverage. HMOs that wish to participate submit packages to the Secretary for consideration and approval. Generally, the process is completed by July of each year so that the information to be processed and made available to employees is prepared and presented for the Open Enrollment period, which begins each year in September or October.	Series contains: correspondence; application process for HMO; copy of certificate of coverage (between plan and member); contract; application form (of member); monthly membership report	Agency: 3	Records Center: 2	Archives Center: Destroy after audit
04426	Appeal to the Self-Insurance Fund File (C) KRS 61.878 (1) (a) - Medical information (V)	This series documents the decision of the Kentucky Kare appeals committee on the payment of claims submitted. When the third party administrator (see Self-Insured Kentucky Kare Plan File - (04421)) has denied payment of a claim, the plan allows for an internal review by which a member may appeal that decision. A hearing is held and, usually, a decision is made within 45 days, unless more information is required. Should either party choose to appeal further, it would go to the circuit court.	Series contains: correspondence; medical records; medical release form (to access appeals review)	Agency: 1	Records Center:	Archives Center: Destroy three years after the decision of the committee is rendered
04427	Minutes of the Kentucky Kare Plan Final Appeals Committee (C) KRS 61.878 (1) (a) - Medical information	This series documents the decisions and the cases brought before the Kentucky Kare Plan Final Appeals Committee through the appeal process. It is a decision of the Commissioner of Personnel to maintain this body. The committee meets about every other month, unless circumstances dictate that other business must be reviewed and dealt with sooner.	Series contains: minutes	Agency: 3	Records Center:	Archives Center: Destroy

STATE AGENCY RECORDS RETENTION SCHEDULE

Personnel Cabinet
Employee Insurance Department
Group Health

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
04496	Kentucky Kare Third Party Administrator File (C) KRS 61.878 (1) (a) - Medical information (V)	This series documents the application and medical claims of eligible employees that participated in the Kentucky Kare insurance program and were filed with the third party administrator (TPA) for payment. The Kentucky Kare plan is the state's self-insurance program which provides health care benefits to eligible state employees and their families. The TPA is involved in the planning and development of the program and has responsibility for handling claims, subrogation and coordination of benefits, customer service, and some marketing. The TPAs are contracted following the bid process every two to three years. The files primarily consist of claims, applications, and correspondence. Note: In this case, a new TPA (Humana) received the contract and the previous TPA (ICH, now known as Southwestern) was not interested in maintaining the records. KRS 304.9-373 of the insurance code requires administrators (TPAs) to retain records for at least five years, thus the Personnel Cabinet has assumed the responsibility of maintaining the records to comply with the statute. *Hard copy files are retained in the State Records Center. The automated records are in Personnel and are accessible if necessary. **The series is not closed, but is one that is not likely to be transferred to the Cabinet or the State Records Center under normal circumstances.	Series contains: claims; applications; correspondence	Agency: 5	Records Center:	Archives Center:
				Destroy after audit		
04433	Monthly and Quarterly Benefit Utilization and Cost Report File - (Electronic) - (Series is scanned into Cabinet's image management system) (C) KRS 61.878 (1) (a) - Medical information (V)	This series documents the costs of claims and services of the health and medical benefits of the state employees that participate in the Kentucky Kare Health Plan. It is essential in defining and defending the costs of claims. The reports are provided by third party administrators. They reflect experience factors such as premium income, interest, cost of services incurred, paid claims, gains/losses, claim count, and member count. Membership reports assess the size of the group--made up of state employees, retirees, teachers and boards of education, and their families. There are also hospital contract reports that reflect the discounts received.	Series contains: experience; premium income; cost of services; paid claims; gain/loss; claim count; member count; hospital/doctor/dentist identification; discounts	Agency: 3	Records Center:	Archives Center:
				Destroy after audit		

STATE AGENCY RECORDS RETENTION SCHEDULE

Personnel Cabinet
Employee Insurance Department
Group Life

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
04428	Enrollment for Group Term Life Insurance File - (Electronic) - (Series is scanned into Cabinet's image management system) (C) KRS 61.878 (1) (a) - Medical information (V)	This series documents enrollment in or changes to the group life insurance program provided through the Personnel Cabinet. It is only necessary to enroll once upon employment in the state's system. Eligible employees include: state employees, teachers, classified employees, board of health employees, and legislators. Spouses and unmarried children, with some exceptions, are eligible. In December, 1992, the insurance contract was changed from Investors Heritage Insurance Company to Prudential Insurance, and the administration of the program in the Cabinet began in February, 1993. An employee is automatically insured for the Basic Life and Accidental Death and Dismemberment Insurance according to the Benefit Class described in the group contract, provided the employee meets the eligibility requirements as described in the group contract. The agency's Insurance Coordinator maintains beneficiary cards and information until a death occurs and a claim is filed (see Proof of Death and Beneficiary Designation File (04429)). *Information is available in the Group Life Insurance Database (04428) from Investors Heritage Insurance Company back to 1984.	Series contains: name; address; social security number; birth date; phone number; agency of employee; signature and date; basic Life and Accidental Death and Dismemberment benefits; optional Life and Accidental Death and Dismemberment; dependent's Group Life plans; waiver of group coverage; to be completed by insurance coordinator - coverage plans chosen	Agency: I	Records Center:	Archives Center: Destroy five years after employee is terminated or deceased, and audit
04429	Proof of Death and Beneficiary Designation File - (Electronic) - (Series is scanned into Cabinet's image management system) (C) KRS 61.878 (1) (a) - Medical information (V)	This series documents the eligibility of death benefits (Accidental Death and Dismemberment) of deceased employees or persons related to employees, according to the terms of the group life insurance program administered by the Personnel Cabinet. The agency retains the Beneficiary Designation Form until a death occurs. Once the family has completed portions of the Proof of Death Form and submitted a certified copy of the death certificate, accident report (if applicable), etc., all documentation is sent to the Cabinet for processing.	Series contains: certified copy of Death Certificate; enrollment cards, forms, beneficiary form; Proof of Death; Group Life Insurance Claim Form; tax Information/identification; any other documents in support of claim, i.e., accidental death notification, accident report, newspaper articles	Agency: I	Records Center:	Archives Center: Destroy ten years after the settlement of a claim, and audit
04430	Billing File - (Electronic) - (Series is scanned into Cabinet's image management system) (V)	This series documents the billing of agencies for life insurance premiums. It will also document the accuracy of the premium amounts ensuring that changes are made as needed. State agencies are billed through payroll deduction. Others are processed monthly, quarterly, or annually.	Series contains: Carrier Reconciliation Report; copy of check; Billing Roster (of agency); social security number of employee; date-of-birth; plan; effective date; type of coverage; county; volume; premium due	Agency: 5	Records Center:	Archives Center: Destroy after audit

STATE AGENCY RECORDS RETENTION SCHEDULE

Personnel Cabinet
Employee Insurance Department
Group Life

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
04431	Refund File - (Electronic) - (Series is scanned into Cabinet's image management system) (V)	This series documents the overpayment of a life insurance premium. Premium payments are payroll deducted for state employees. For other employees, i.e., health department workers or teachers, a billing is sent monthly, quarterly, or annually. When an overpayment occurs, a purchase order is sent through the Division of Accounts, Finance and Administration Cabinet. The Department of Treasury processes the check, returns it to the Personnel Cabinet, which then forwards it to the agency or individual.	Series contains: copy of check; copy of purchase order; list of refunds; request for refund or notice of overpayment	Agency: 5	Records Center:	Archives Center:
				Destroy after audit		
04432	Group Life Insurance Database - (Electronic) - (Series is scanned into Cabinet's image management system) (C) KRS 61.878 (1) (a) - Medical information (V)	This series documents all information relative to an enrollee's life insurance policy. It includes the coverage plan, the coverage history, rates, calculations, billing, posting, and various reports that summarize and reconcile the activities of the insurance programs, i.e., posting, balancing, and overpayments. Each of these activities work with the Master File, which manages the individual records of the group program in which employees participate, such as billing frequency, salary, and status. *Database was implemented in June, 1993, however, information in the database includes files from Investors Heritage Insurance Company.	Series contains: see attachments	Agency: P	Records Center:	Archives Center:
				Retain in agency		

STATE AGENCY RECORDS RETENTION SCHEDULE

Personnel Cabinet
Employee Relations
Employee Benefits

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
03345	Kentucky Employee Evaluation System (C) KRS 61.878 (1) (a)	This series documents state employee performance evaluations according to the basic criteria provided by KRS 18A.112. The Kentucky Employee Evaluation System was developed by a committee of state employees and later modified by legislation as enacted by the 1986 General Assembly. The system was designed to provide the employees of state government with a fair and simple performance evaluation system. The system permits, when funds are available, compensation to an employee who "exceeds performance requirements." The system can also assist in providing direction to employees who fail to perform their jobs adequately. The system shall be used in determining salary advancements, promotions and demotions. Evaluations are completed at mid-year and at the end of each calendar year. Currently, the Employee Evaluation form is returned to the Payroll Operations Branch.	Series contains the following categories: job knowledge/skills; quality of work; productivity; improvement in performance as an employee (and as a supervisor, if applicable); employee conduct. Also any documentation used to support the evaluation	Agency: P	Records Center:	Archives Center:
				Retain in agency		
03928	Employee Suggestion System Council File (C) 101 KAR 2:120, Sec.3(6) Until decision is rendered	This series documents those employee suggestions that have been approved by Council members, and the awards presented in the annual ceremony each December. Council members are appointed by their Cabinet Secretary. They will vote on each suggestion, and approve or reject them. The file is created as a result of the evaluation process documented in the Employee Suggestion File (M0044). Suggestions are first submitted to the cabinet representative on an Employee Suggestion Form. Under the terms of 101 KAR 2:120, a suggestion is evaluated on the basis of its cost effectiveness in its first year of implementation. The representative will review the value of the suggestion to determine if it is a suggestion pertinent to only one agency, or all agencies. The agency or agencies which implement the suggestion are inter-accounted by the Personnel Cabinet for the monetary prize to the winner. The awards are presented by the Governor and the Cabinet Secretary of the recognized employees.	Series contains: correspondence; copy of the Employee Suggestion Form; copy of the evaluation of employee suggestion	Agency: P	Records Center:	Archives Center:
				Retain in agency		

STATE AGENCY RECORDS RETENTION SCHEDULE

Personnel Cabinet
Employee Relations
Employee Benefits

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
04158	Kentucky Employee Assistance Program (KEAP) Case File (C) KRS 319.111, 101 KAR 2:160, Section 2 (4) (V)	This series documents the psychologist's assessment/referral activities of clients seen in the Kentucky Employee Assistance Program (KEAP). It tracks the client's activities and progress after entering the program, and is used to assure the psychologist that a client is on course in his/her treatment. KEAP is a free, confidential program for helping state employees and/or members of their family deal with problems that affect job performance, personal life, or general well-being. The problems may be emotional, financial, marriage/family, or substance abuse. It is the intent of KEAP to help employees lead more productive personal and professional lives. Also, the program can reduce absenteeism, tardiness, accidents, and help lower insurance costs. The KEAP professionals are state employees trained in assessment and referral. A counselor will assist in finding the most qualified people to help with a problem. In the case of a self-referral, no one will know of a contact with KEAP. When an employee's job performance is deteriorating, the supervisor may refer the employee to the program. Even in this situation, the supervisor will not be told specifics about the problem. Participation in KEAP will not jeopardize an employee's job or promotional opportunities. The KEAP program will see approximately 750 new clients per year.	Series may contain: contact sheet (client number, name, purpose of call, gender, agency, job information, demographics); insurance information; marital status; client status; referral/relationship, presenting issue (substance abuse, marital, children, grief, etc.), other information; client follow-up; medical/therapist records; disciplinary actions; job performance information; time and attendance records	Agency: I	Records Center:	Archives Center:
				Destroy five years after closure of file. Note: Destruction must be under the supervision of a licensed or certified psychologist		
04160	Auto Liability Insurance Reimbursement File	This series documents and verifies the request and reimbursement for the cost of insurance premiums to state employees who have met the necessary requirements for "extended non-owned coverage". An eligible employee is one who has added "extended non-owned coverage" (drive other car coverage) to his auto liability insurance because he must use a state vehicle in the performance of his job. The required state law limits (maximum) are \$100,000/300,000/50,000. The reimbursement will correspond with the limits of coverage and the amount of an employee's premium. The employee must have been in state service 12 months; must have been in a job which required the use of a state vehicle; and must have carried "extended non-owned coverage" for the preceding 12 months. The employee completes Part I of the form, and the insurance agent completes Part II. A Travel Voucher is submitted with this document to the employing agency, then forwarded to the Finance Cabinet, Division of Management Services, for further processing.	Series contains: request form - employee's name, agency, claim period, claim amount, signature; agent's name, company, verification of claim period, amount, signature, date, phone number; Travel Voucher; Warrant for Check	Agency: 1	Records Center: 2	Archives Center:
				Transfer to the State Records Center. Destroy after audit		

STATE AGENCY RECORDS RETENTION SCHEDULE

Personnel Cabinet
Employee Relations
Employee Benefits
Workers' Compensation

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
03641	Employee Injury Incident File (C) KRS 61.878 1(a) Change Date: 6/8/2006 (V)	This series documents a state employee's first report of accident or injury. The Workers' Compensation Branch of the Personnel Cabinet is the office through which a report must initially be recorded and filed for all state employees. A private company is contracted as a Third Party Administrator to process and investigate claims and to be a liaison with the Workers' Claims Office of the state Labor Department. The Cabinet receives the first report of injury from a supervisor (Department of Workers' Claims series 01655), as the employer of record. The Employee Injury Claim File is now limited to "no medical, record only" files, those incidents which have been reported, but in which no medical costs have been claimed. The series retention reflects this change. When medical costs are involved the case is referred on to the Third Party Administrator for continued processing. As required in KRS 342.185, an employee must file an initial claim within two years after the date of an accident or injury. An incident file in this series can continue on to the Third Party Administrator at any time during the two year period if medical cost compensation is claimed. Reconstruction of a complete file past the "no medical, record only" status in the event of an employees' request for information would require records from the Office of Workers Claims and the Third Party Administrator as these are the administering offices for incidents which result in medical cost claims, and which house the record copy of this material.	Series contains: copy of first report of injury form IA-1; reports and correspondence from third party administrator-- status of any claim made.	Agency: 2 years	Records Center: 6 years	Archives Center: Transfer to the State Records Center
04420	Workers' Compensation Self-Insured Contract File (C) KRS 61.878 (1) (a) - Medical information (V)	This series documents the administration of the self-insured workers' compensation program for the Commonwealth of Kentucky, in accordance with the Workers' Compensation law found in KRS Chapter 342. The contract is written for a two-year period, with a three-year renewal option before it must be "bid out" again. The program covers all state employees, except the Transportation Cabinet, the public universities, except the University of Kentucky, volunteer firemen and emergency medical technicians, the Fayette County Health Department, and eight county clerks' and sheriffs' offices. As with the Self-Insured Kentucky Kare Plan, a third party administrator (TPA) works in conjunction with the Personnel Cabinet in the handling of claims, coordination of benefits, and customer service. An attorney from the Cabinet handles workers' compensation subrogation cases (see Workers' Compensation Subrogation Case File - (04425)). The TPA pays the doctor's bill(s) and is reimbursed by the state fund. The Workers' Compensation Branch gets reports from the Utilization Review Company doing business with the Kentucky Kare insurance plan (see Annual Utilization Report - (04422)). Also reviewed and filed with the contract are the monthly Loss Analysis Reports. The reports reflect the claimant's name, costs accrued, paid-to-date, cost per month, reserves, and bills outstanding.	Series contains: contract; loss analysis reports correspondence; adjustment of premiums (agency premiums calculated according to the number of employees and claims experience, averaged over three years)	Agency: 1	Records Center:	Archives Center: Purge and destroy the Loss Analysis Reports after three years. Destroy contract file five years after expiration, and audit

STATE AGENCY RECORDS RETENTION SCHEDULE

Personnel Cabinet
Employee Relations
Employee Benefits
Workers' Compensation

Retention

Series	Records Title and Description	Function and Use	Contents	Disposition Instruction		
04425	Workers' Compensation Subrogation Case File (C) KRS 61.878 (1) (a) - Medical information (V)	This series documents the legal activities in the subrogation of workers' compensation payments from third parties. The Workers' Compensation branch is first notified (see Employee Injury Claim File - (03641), of the processing of the workers' compensation claim. When the possibility of recovery of state funds appears to be probable or necessary, the legal process is initiated, contact is made with the insurance company and the cabinet's third party administrator to determine a settlement or the recovery of workers' compensation funds. Such a case may happen when an employee is involved in a car accident while on state business, and the fault of the accident is determined to be the other party. An employee has two years from the date of the accident to file suit.	Series contains: correspondence; internal memoranda; copies of pleadings; copies of medical bills/payments	Agency: I	Records Center:	Archives Center:
				Destroy five years after case closure		

STATE AGENCY RECORDS RETENTION SCHEDULE

Personnel Cabinet
Employee Relations
Employee Services and Recognition
Kentucky Employee Assistance Program

Retention

Series	Records Title and Description	Function and Use	Contents	Disposition Instruction		
04159	Master File/Index (C) 101 KAR 2:160 Section 2 (4) (V)	This series documents the master list of clients that serves as the index to the Kentucky Employee Assistance Program (KEAP) Case File (04158). The index is essential to locating the case files because of the arrangement of that series.	Series contains: client name, number; client's agency; name of counselor	Agency: I	Records Center:	Archives Center:
				Destroy when destruction of the KEAP Case File (04158) occurs		

STATE AGENCY RECORDS RETENTION SCHEDULE

Personnel Cabinet
Human Resource Planning
Equal Employment Opportunity

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
44	(May Include: Grant Records and Related Correspondence)			Agency: 4	Records Center:	Archives Center:
				Destroy after audit		

STATE AGENCY RECORDS RETENTION SCHEDULE

Personnel Cabinet
Office of Government Training

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
05446	Training Participant Folders -- Certified Public Managers Program (C) KRS 61.878(1)a Change Date: 3/9/2006 (V)	This record series documents the progress of candidates through the Kentucky Certified Public Managers training program curriculum. This curriculum is designed to enhance the managerial skills of employees in state government. KCPM is part of a nationally accredited certification program with 18 active member states. The initial phase of this curriculum is the Certificate of Management Fundamentals (CMF), which must be completed before enrolling in the CPM phase. Successful completion of the KCPM curriculum requires 300 hours of management training along with tests and projects which demonstrate learning back on the job, and normally takes four years to complete. Graduates may receive two years of management work experience credit in applying for certain state positions. Completion can also qualify an employee for an Educational Achievement award of a five percent salary increase, if agency budget funds are available. Graduates desiring to continue their management education and training are eligible to apply for nine undergraduate hours towards Business or Public Administration degrees at Kentucky State University or Murray State University. Six graduate hours towards a Masters in Public Administration may also be applied for through Kentucky State University.	Documents in this series can include initial course applications, test letters indicating pass or fail status, written projects demonstrating competencies gained in class and applied on the job, transcripts, request for extension forms, request for removal forms and certification/approval letters to verify program completion.	Agency: 1 year	Records Center: 6	Archives Center:
				Transfer to State Records Center one year after date of program completion. Destroy after audit.		

STATE AGENCY RECORDS RETENTION SCHEDULE

Personnel Cabinet
Office of Legal Services

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
03539	Attorney's Litigation/Work File (C) KRS 61.878 (1) (h) (i) (V)	This series documents the briefs and pleadings involved in assisting the attorney in the preparation and trial of an appeal to the Personnel Board or the Franklin Circuit Court filed by a state employee or applicant. It reflects the work activity of the attorney on behalf of the Personnel Cabinet. The Cabinet will become a party in a case when an employee or applicant files an appeal to the Personnel Board naming the Cabinet as defendant. The Personnel Board notifies the Cabinet of the pending case, and provides the General Counsel with a copy of the case file, as required by KRS 18A.095 (17) (d). Cases against the Cabinet would be created in such instances of an applicant's name being removed from the Register, or an employee filing an appeal because the agency won't reclassify their current work position. The party aggrieved may, within thirty (30) days after the entry of the final order with which he is dissatisfied, appeal that order by filing a petition with the Clerk of the Franklin Circuit Court.	Series contains: (research) notes; correspondence; copy of appeal form; briefs; pleadings; final order of the Board	Agency: I	Records Center: 5	Archives Center:
				Transfer to the State Records Center thirty days after case closure		
03540	Non-Party Appeal Notification File	This series documents appeals to the Personnel Board where the Personnel Cabinet is not considered a party to the case. The attorney for the Cabinet, as required in KRS 18A.095 (17) (d), must receive notification of each pending appeal in the event that it becomes necessary for the Cabinet to intervene on its own behalf; or in the event of an appeal to the Franklin Circuit Court, the file would be retained until final disposition by the court. In the case of appeals to the Franklin Circuit Court, the series would be retained by the Cabinet until final disposition of the case.	Series contains: appeal form (name of employee, work location, reason or statement of appeal)	Agency: I	Records Center:	Archives Center:
				Destroy thirty days after case closure		
04534	Request to Inspect Public Records File	This series documents the requests to inspect, research, or review records created within the Personnel Cabinet, which primarily consist of personnel files (see Master Personnel Folder - (04522)). Consistent with the provisions of KRS 61.870 to 61.884, the records of state government agencies, with the exceptions noted in KRS 18A.020 (State Personnel laws), 61.878 (Open Records laws), or 200 KAR 1:020 (4) (Access to Public Records), are available for inspection to the public. 200 KAR 1:202 (5) provides for the creation of this written application allowing for access to the information generated and the business conducted by the state. The cabinet's attorney reviews the request(s) and makes available all records that are allowed by statute. The file reflects the action taken or response to a request. An employee's name, job title, job qualifications, and salary are among the data available upon request. An employee's home address, phone number, social security number, any disciplinary action, or names of third parties cited in disciplinary action notices are not available for inspection.	Series contains: request form; copy of response	Agency: 3	Records Center:	Archives Center:
				Destroy after audit		

STATE AGENCY RECORDS RETENTION SCHEDULE

Personnel Cabinet Personnel Administration

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
03931	Sick Leave Sharing File - (Duplicate) - (Original in respective agency)	This series documents an employee's request for sick leave sharing, the nature of the request, and the response(s) to the request. Under the terms of KRS 18A.197, an appointing authority, with the approval of the Personnel Cabinet, may permit an employee of the agency to receive leave under the statute if: a) the employee or member of his/her immediate family suffers from a medically certified illness, injury, mental or physical condition that has caused, or will cause, the employee to be on leave for at least ten consecutive days; b) the employee's need for absence and use of leave is certified by a licensed, practicing physician; and, c) the employee has exhausted his accumulated sick leave, annual and compensatory leave balances. The file is originally created in the agency of the requesting employee. A duplicate is maintained by the Cabinet, as required in KRS 18A.197 (4). The file provides the Cabinet with information from which statistics are derived for the Sick Leave Sharing Log (03932). Note: The employee requesting time is to ask for only the amount of time he/she anticipates needing. Any time that is not used is returned to the donating employee.	Series contains: Sick Leave Sharing Form (Name of requesting employee, Cabinet, social security number, amount of leave needed, reason leave is required, signature of employee and appointing authority, date); Donor Form (name, Cabinet, social security number, number of hours donated, to whom time is donated, signatures)	Agency: 1	Records Center: 2	Archives Center:
				Transfer to the State Records Center. Destroy after audit		
03932	Sick Leave Sharing Log	This series documents a summarized report of the Sick Leave Sharing File (03931). It is anticipated that the information will be included in the Cabinet's Annual Report (M0022). The Payroll Division receives the individual payroll transactions from an agency's personnel officer.	Series contains: donee name; social security number; Cabinet/Department; donor name; social security number; Cabinet/Department; hours donated	Agency: 3	Records Center:	Archives Center:
				Destroy		
04522	Master Personnel Folder - (Electronic) - (Series is scanned into Cabinet's image management system) (C) KRS 61.878 (1) (a) (V)	This series documents an individual's employment with the state. It is the master file and the primary source of employment history beyond one's agency employment. It verifies dates of employment, salary, sick and annual leave time accrued, and other official personnel actions, including eligibility for retirement (refund or benefits) or Social Security benefits. The employee's mid-and end-of-year performance evaluations are no longer retained in the Personnel Cabinet, but in the agency. The overall rating of both evaluations is maintained in an electronic file in the Cabinet. Formal grievances, disciplinary actions, letters of reprimand are maintained in the agency's file. Retention is based upon an individual's earliest eligibility for work in state government (age 16). Employees are eligible for full retirement benefits after 27 years of service.	Series contains: application; Personnel Actions (P-1s); time and attendance information; resume; correspondence; letters of achievement; material regarding employee's performance; Exempt/Non-Exempt Form; health/life insurance information; qualifying classification; position description; retirement information; service record; withholding statements; payroll deduction records; test scores; military records; disciplinary action documents	Agency: 70	Records Center:	Archives Center:
				Destroy		

STATE AGENCY RECORDS RETENTION SCHEDULE

Personnel Cabinet
Personnel Administration

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
04524	Request for Position Action Only File - (Electronic) - (Series is scanned into Cabinet's image management system)	This series documents the change or the nature of action an agency is requesting of the Personnel Cabinet relative to a position within a cabinet or department of state government. Examples of position changes would be the establishment of a position, a reorganization, a grade change, a title change, reallocation, or reclassification. The Cabinet reviews all requests for action for conformity to personnel laws and regulations. The agency receives a copy of the approval or denial of the action, but will not have the copy with Personnel signatures.	Series contains: form number P-1--Request for Personnel-Position Action; position only is marked; effective date; nature of action; description of action; position number; class code; class title; approvals for current request by appointing authority; code block for Personnel Cabinet use only	Agency: 3 Destroy	Records Center:	Archives Center:
04525	Summary of Position Action File (UPPS printout)	This series documents the report to the Personnel Cabinet summarizing the numbers and types of actions processed on a monthly basis. The information reflects factors such as race and sex of employees by the agency requesting P-1 actions. The report is not utilized frequently, but provides valuable statistical data on actions taken and processed.	Series contains: action code; racial origin code; sex code; name and social security number of employee; position number; effective date of P-1 action; and totals of actions taken	Agency: 3 Destroy after audit	Records Center:	Archives Center:

STATE AGENCY RECORDS RETENTION SCHEDULE

Personnel Cabinet
Personnel Administration
Employee Management
Classification and Compensation

Retention

Series	Records Title and Description	Function and Use	Contents	Disposition Instruction		
04338	Unclassified Service Position File	This series documents the records and activities pertaining to unclassified service personnel, as provided for in KRS 18A.115. The legislation allows for the appointment of cabinet secretaries, commissioners, office heads, the administrative heads of all boards and commissions, one principal assistant or deputy for each of these noted and, dependent on the size, function and complexity of an agency, additional assistants as approved by the Commissioner or the Personnel Board. When an agency head wants to create an unclassified position, he must petition the Commissioner and/or the Personnel Board for approval. The Commissioner retains the original petition, with a copy filed in the division; however, he does not maintain other correspondence or documentation. The position will remain a part of the agency's organization until the abolishment of the agency or the position.	Series contains: position description; petition (duplicate); memoranda from state agency; executive order for re-organization	Agency: I	Records Center:	Archives Center:
				Destroy three years after abolishment of agency or position		
04339	Class History Summary File	(V) This series documents the research and surveys that aid in determining the value or worth of a position in a given class in the executive branch of state government compared to the job market outside of state government. Consideration is given to the position and its functions in relation to others in an office, i.e., a data processor versus an executive officer versus an administrative secretary. A file is prepared for each job classification when a class is established, revised, or abolished. The file documents the rationale for modifying the classification plan. The series is referenced when preparing a new classification or revising a current one, and often in connection with Personnel Board hearings.	Series contains: agency request for new or revised job class; position audit summary; recommendations from classification analyst; Position Evaluation Summary; Class History Summary Form	Agency: P	Records Center:	Archives Center:
				Retain in agency		
04340	Official Class Specification File (V)	This series documents the standard developed by the Personnel Cabinet which states the title, characteristic responsibilities, examples of duties, and the minimum requirements of a class. A class is a group of positions sufficiently similar in duties performed, responsibilities, minimum requirements of training, experience, or skill, and such other characteristics that the same title, tests of fitness, and schedule of compensation have been or may be applied to each position in the group. Class specifications are descriptive of the positions. As required in 101 KAR 2:020, Section 2 (1)(2), the Cabinet maintains a master set of all approved class "specs", designating the date of adoption or the last revision. All agencies are provided a set of "specs" of those classifications to which positions in the department are allocated. A new classification may be requested by an agency when, after evaluation, there is no other that appears to be appropriate. New legislation may create a class. Classification analysts review the requirements deemed necessary for a new class, thus, a new "spec" is written. A new classification system was written in 1982 at the request of Governor John Y. Brown; however, by a decision of the Personnel Board in 1992, "specs" prior to 1982 were determined to be valid for purposes of reinstatement.	Series contains: class specification (current and previous) -- title, duties, requirements in training, experience or skill	Agency: P	Records Center:	Archives Center:
				Retain in agency		

STATE AGENCY RECORDS RETENTION SCHEDULE

Personnel Cabinet
Personnel Administration
Employee Management
Classification and Compensation

Retention

Series	Records Title and Description	Function and Use	Contents	Disposition Instruction		
03471	Position Description Questionnaire File	This series documents an employee's work that is performed and how much time each duty consumes. It serves as a basis or standard for classifying positions throughout state government. It provides a plan that maintains an equitable relationship between the nature of the work, education necessary, experience, the variety and complexity of duties, and responsibilities required by a position. The series is completed whenever a position is to be established, reclassified, or reallocated, and documents the approval or denial of the request by the Personnel Cabinet.	Series contains: title(s); whether position is filled or vacant; position location; nature of request (establishment, reclassification, reallocation); name and title of immediate supervisor; percentage of time and description of duties; organizational chart pointing out position described; dated signature of person completing form; approval/denial of request by Personnel Cabinet	Agency: 1	Records Center:	Archives Center:
				Retain current plus the preceding Position Descriptions. Note: May destroy Position Description Form sixty days after position is abolished		
04341	Salary Review Forms File	This series documents the salary review requests of agencies for promotions, reversions, and appointments of individual employees, as provided for in KRS 18A.110 (7) (b). The forms relate to employees that may be hired, appointed, reverted to, or promoted to a position where the salary is anything other than minimum pay. An agency may receive permission to pay a higher percentage than the minimum salary range, provided funds are available. If approved, an agency must also be able to increase salaries of others within the agency with comparable positions, giving consideration for seniority, experience, and education. If the agency cannot meet the salary increase for all, then it must be denied for one. If an employee is hired, this information is placed in the Master Personnel Folder (04522). When an appointment is rejected, the record is retained in the Personnel Cabinet.	Series contains: 1) Reversion Request - name; agency; increment date; current classification; class reverted to; dates/percentages of increments, other considerations (grade changes, salary adjustments); 2) Promotional Requests - name; agency; percentage requested; class of current position; position number; class of proposed position; description of increase in responsibility; recommendation; 3) Appointment Request - name/agency/position number; work county; class; date of appointment; entry salary; requested salary; minimum requirements for class; education; experience; related to class; others in the same class/agency/locality who will be adjusted; name and amount of adjustment	Agency: 2	Records Center:	Archives Center:
				Transfer to the Master Personnel Folder (04522), if appointed; otherwise, destroy		

STATE AGENCY RECORDS RETENTION SCHEDULE

Personnel Cabinet
Personnel Administration
Employee Management
Classification and Compensation

Retention

Series	Records Title and Description	Function and Use	Contents	Disposition Instruction		
04342	Salary Survey	(V) This series documents salary information gathered from other jurisdictions, usually other state governments, for purposes of setting pay grades. The information is compiled into a report and submitted to the division director. Each study is a survey of current, but selected, classes. The Commissioner of Personnel has the authority to enact an increase to the salary schedules; however, all of the agencies must have the money available before any employee receives a pay increase. The Governor's Office of Policy and Management will approve the changes in an agency's budget once the salary changes become effective.	Series contains: name(s) of classes surveyed; survey respondent; pay information	Agency: 1	Records Center:	Archives Center:
				Destroy		

STATE AGENCY RECORDS RETENTION SCHEDULE

Personnel Cabinet
Personnel Administration
Employee Management
Payroll

Retention

Series	Records Title and Description	Function and Use	Contents	Disposition Instruction		
04523	Uniform Payroll/Personnel System (UPPS) - (Electronic) (C) KRS 61.878 (1) (a) (V)	This series documents the Cabinet's administration of the state personnel and payroll system. The system processes all personnel actions, generates pay information for check production, processes automated clearinghouse (ACH) transactions, labor distribution, and benefit accrual. Most all transactions are initiated from the agency requesting personnel action. A series of JCL (Job Control Language), COBOL, PROCS, and C-lists (user-friendly, entry prompter for writing information into JCL) create, update, and process payroll records of employees, which includes classified and unclassified state employees, Property Valuation Administrators, judicial and legislative employees, and some county fee offices, i.e., sheriffs' offices. Records stored in the electronic master files are also used for the annual W-2 production. The core reports printed and provided to the agencies are those requested by the State Auditor's Office, others are available upon request. The system operates on the state's mainframe through the Governor's Office of Technology (GOT). GOT downloads information between the agencies and the Personnel Cabinet through the Customer Information Control System (CICS).	See File Layout attached	Agency: 7	Records Center:	Archives Center:
				Delete or reuse tapes after audit		
00708	Payroll Requests (Printouts and/or microfiche)		Includes the following reports: 10 Payroll and Deduction Reg.; 12 Manual Check Issued Reg.; 14 Deductions Not Taken Reg.; 15 Check Issued Reg.; 21 Employees Within Deduction 26; 30 Bond Reg.; 32 Master Employee List; 44 S	Agency: 3 Destroy	Records Center:	Archives Center:

STATE AGENCY RECORDS RETENTION SCHEDULE

Personnel Cabinet
Personnel Administration
Staffing Services
Examination Construction

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
04256	Master Copy Examination File (C) KRS 61.878 (1) (g) (V)	This series documents the official record and supporting documentation for merit examinations used to rank applicants on the basis of their knowledge, skills, and abilities (KSAs) for merit positions within state government. Examination technicians conduct job analysis research in coordination with agencies to identify the duties and essential KSAs for a job class. Segment outlines (reading comprehension, math problems) are developed and items are chosen that measure the KSAs deemed crucial for an individual hired into a position. Item sources are identified. The newly constructed examination is reviewed by the agency to determine its appropriateness for ranking applicants on merit registers. The series includes active and discontinued examinations, written tests and, also, video, essay, oral board, portfolio review and special in-house examinations taken only by Personnel Cabinet employees who routinely handle examination materials. *Reference is dependent on the nature of the exam, the need to change, update or revise content of an exam.	Series contains: original, printed examination; key answer sheet; key copy; test segment outline; changes to test; research and supporting documentation for content of examination to include content validity study, item origin or source of item, readability studies, job analysis, agency contacts, subject matter expert examination review forms	Agency: P	Records Center:	Archives Center:
				Retain in agency		
04257	Training and Experience Rating Form File - (T & E Rating Form) (C) KRS 61.878 (1) (g) (V)	This series documents the examination results of applicants on registers for job classes that have a Training and Experience (T & E) selection method. A T & E guideline is constructed when job analysis research is completed, and the knowledge, skills, and abilities (KSAs) identified as essential to the class may be effectively evaluated by comparison of applicant's related education/training and experience. The applications of qualified individuals are then compared to the T & E guideline and points are assigned based on the recency and relevancy of the individual's job-related education and experience. The series serves the same purpose as an answer sheet, series number (04252).	Series contains: applicant's name; social security number; class title and code; (check if position is) 100% T & E or part T & E score; date; education and experience points; point conversion chart; raw score; converted score; weight; T & E score; written score; total; notes; grader; verifier	Agency: 3	Records Center:	Archives Center:
				Destroy		
04258	Selection Method History File (C) KRS 61.878 (1) (g) (V)	This series documents the selection method by which an applicant must test for a merit position, and what the selection method has been historically. It will provide all supporting documentation for classes with a selection method of Training and Experience (T & E) evaluation or 100% qualifying. A "qual" selection method is generally used when someone by virtue of earning, or maintaining, a license or certification will meet the necessary minimum requirements for a position, such as an attorney, plumber, or nurse. Applicants are not ranked on a "qual" register. The supporting documentation for a written examination will be in the Master Copy Exam File (04256), but the selection method form indicating the decision to have a written examination is found in this series.	Series contains: Selection Method Form - class title, code, number of applicants on register, agency personnel officer, date of job analysis, agency contact, subject matter review, content validity study, item analysis, comments, selection method recommended, number of positions available, selection history, discussion, routing check-off; specifications; agency contacts or job analyses; selection method changes; subject matter expert review forms; T & E guidelines	Agency: P	Records Center:	Archives Center:
				Retain in agency		

STATE AGENCY RECORDS RETENTION SCHEDULE

Personnel Cabinet
Personnel Administration
Staffing Services
Examination Construction

Retention

Series	Records Title and Description	Function and Use	Contents	Disposition Instruction		
04259	Stats File (C) KRS 61.878 (1) (g) (V)	This series documents the overall applicant performance on written examinations constructed and given. It allows the agency to monitor the examinations taken regularly to determine their fairness. It aids in evaluating the effectiveness of specific examinations by analyzing the responses of applicants, such as if some questions are frequently missed, or if applicants' scores are grouped too high or too low. Review results will identify items that are too easy or too difficult. The statistics will reflect a curve in the grading scale and provide a comparative analysis of applicants (testing for a particular class) on the basis of raw scores, range of scores and the average score, as well as indications of any adverse impact on some testing groups/minorities. The data help in determining the need to justify a modification in an examination or construct a new one. Tests selected for monitoring may be selected by the number of positions available across state government, the age of the examination, the greatest applicant traffic, positions with significant turnover, or those with high register requests.	Series contains: desk analysis (comparative ranking of applicants); item analysis (detail of individual responses of test questions); copy of test; segment outline; review of findings	Agency: I	Records Center:	Archives Center: Destroy five years after examination is discontinued

STATE AGENCY RECORDS RETENTION SCHEDULE

Personnel Cabinet
Personnel Administration
Staffing Services
Register Branch

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
04260	Register Certificate File (ARS Printout) - (Form P-7 (A)) (V)	This series documents those applicants that are eligible to be certified and their names submitted to an agency for position consideration. The series is created when an agency has a vacancy to fill and requests a Register Certificate (P-7) from the Personnel Cabinet. The top five applicant scores are sent to the agency (which may be more than five names). The name of each applicant is identified with the respective score. To be on the register certificate also means an applicant has met the minimum requirements for the class. A Request for Personnel-Position Action (P-1) is created upon completion of the appointment of an applicant to a position. The P-1 and P-7 are checked or audited to ensure that the appointment is in order, and that all activity with the P-7 has been managed appropriately.	Series contains: certificate number; agency request number; agency name; position classification; position number; location; number to employ; type of appointment; request sent by; appointing authority; certification; Personnel Commissioner's Signature, date; register - applicant's name, address, score, action taken by agency	Agency: 1	Records Center: 4	Archives Center: Transfer to the State Records Center. Destroy after audit
04261	Automated Register System (ARS) - (Electronic) (V)	This series documents the individuals that have tested for state employee positions and their test results. One of its primary functions is to generate the Register Certificate File (04260) which identifies the top five scores for a given class, and the corresponding applicants when an agency requests a register. It records action taken on a register. It shares information with and is built from the Applicant Testing System (04255). It allows staff to inquire and review each applicants' tests results. *CICS (Customer Information Control System) is the software package allowing communication with the state agencies to request registers, make appointments, and take actions on the Register Certificate (P-7), (04260). CICS is managed on the state mainframe and daily loaded into the AS/400 for Cabinet responses or action on personnel activities. Agencies do not have direct access to the AS/400.	Series contains: name of persons that have taken a test and which test has been taken; social security number of person taking test; job title; score order; counties where applicant is available to work	Agency: 5	Records Center:	Archives Center: Retain active registers on-line for two years. Transfer to tape for remaining three years
04262	Education Verification Request File (V)	This series documents the verification of educational requirements of a class/position for a new employee hired by a state agency. It is a form letter to the agency that has hired a new staff member, asking for the transcript or license to be sent to the Personnel Cabinet as required. The request is to be completed within thirty days. If it is not received in that length of time, another letter requesting the information is sent to the agency from the Personnel Commissioner. If not received in fifteen days or the end of the next pay period, then the new hiree is dismissed. Once the education verification is received by the Cabinet, the application and verification are filed in the Master Personnel Folder (04522), and the verification request is destroyed.	Series contains: statement requesting verification of education, name of new employee, type of verification required, name of agency involved	Agency: 1	Records Center:	Archives Center: Destroy thirty days after proper verification has been received, or after time period has expired and employee is dismissed
04263	Suspense Log (V)	This series documents the applicants that are testing for positions in state government, but are not immediately available to begin work, i.e., an individual that will be graduating from college in a current semester and will meet the educational or qualification requirements at that time. A potential candidate can only test six months prior to his availability. The individual's name is identified on the Suspense Log by the date of his availability.	Series contains: name of candidate; social security number; date available (code); full-time/part-time/both	Agency: 1	Records Center:	Archives Center: Destroy

STATE AGENCY RECORDS RETENTION SCHEDULE

Personnel Cabinet
Personnel Administration
Staffing Services
Register Branch

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
04264	Reemployment Card File (V)	This series documents applicants that are eligible for reemployment. Reemployment is the rehiring of an employee with tenure who has been laid off. The file reflects that an applicant has turned down (not more than two) offers. The file provides the Cabinet with a current listing of employees with reemployment rights, as appropriate vacancies exist. KRS 18A.113 (4), (5), and (6) provide that any employee who has been placed on a reemployment register for the class of position from which he was laid off and for any class for which he is qualified has the right to test for any class of position for which he is qualified to take an examination. For a period of five years, laid-off employees are to be hired before another laid-off employee or eligible applicant, except for one with greater seniority. Also, for a period of five years, the name of a laid-off employee is to remain on the register, not to be removed unless: a) by written notification to the Cabinet; b) two offers of appointment have been declined; c) he is unqualified for appointment. Also, an employee's name is removed when he accepts an appointment to a position.	This series documents applicants that are eligible for reemployment. Reemployment is the rehiring of an employee with tenure who has been laid off. The file reflects that an applicant has turned down (not more than two) offers. The file provides the Cabinet with a current listing of employees with reemployment rights, as appropriate vacancies exist. KRS 18A.113 (4), (5), and (6) provide that any employee who has been placed on a reemployment register for the class of position from which he was laid off and for any class for which he is qualified has the right to test for any class of position for which he is qualified to take an examination. For a period of five years, laid-off employees are to be hired before another laid-off employee or eligible applicant, except for one with greater seniority. Also, for a period of five years, the name of a laid-off employee is to remain on the register, not to be removed unless: a) by written notification to the Cabinet; b) two offers of appointment have been declined; c) he is unqualified for appointment. Also, an employee's name is removed when he accepts an appointment to a position.	Agency: I	Records Center:	Archives Center:
				Destroy upon acceptance of an appointment, or after five years if not reemployed		

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STATE AGENCY RECORDS RETENTION SCHEDULE

Personnel Cabinet
Personnel Administration
Staffing Services
Staffing Analysis

Retention

Series	Records Title and Description	Function and Use	Contents	Disposition Instruction		
04250	Sign-In Sheet	This series documents each individual that comes to the Personnel Cabinet to file an application or to take a test for employment and, also, those that actually take a test. One may not qualify to take the test he elects to take. The sheet provides statistical data for the Annual Report (M0022), which verifies the number of individuals that visit the Cabinet to take examinations each year. Reference activity is usually within the first three months, and is used to verify the taking of a test or test score.	Series contains: name; social security number; test to be taken	Agency: 1 Destroy	Records Center:	Archives Center:
04251	Applications Not Processed File (C) KRS 61.878 (1) (a) Change Date: 3/1/1996	This series documents those applicants who do not complete the application, testing, or register process, thus leaving the Personnel Cabinet with only the application. The applications represent individuals that failed a test, have sent in an application then failed to appear at the test center, or have an incomplete score. An applicant has three months to complete or take action on an application being held by the Cabinet. If, and when, an individual completes the testing process, record activity continues through to the Register Branch.	State application	Agency: 4 Destroy	Records Center:	Archives Center:
04252	Answer Sheet File (C) (C) KRS 61.878 (1) (a) Change Date: 3/12/1998 (V)	This series documents an applicant's responses to each test taken. All written examinations are multiple choice and graded by the Applicant Testing System (04255). Once an examination is graded, future reference is for the purpose of regrading. A regrade occurs if there is a need to recheck an answer sheet, or if an individual took the same examination for another position. Currently, all statistics needed for evaluation of tests can be obtained electronically. Note: Test scores are good for one year only (see KRS 18A.110 (7) (d)).	Series contains: name of examination; social security number of examinee; and responses to exam questions	Agency: 1 Destroy	Records Center:	Archives Center:
04253	Security Check File (C) KRS 61.878 (1) (a) (V)	This series documents whether or not a police record exists on an applicant when they respond "yes" to the "conviction for violation" question on the state application (for employment). An applicant is asked if he is currently on parole or probation for any violation of the law and, if so, it is identified. The staff attorney and division director of the department will review the violation (the nature of the violation, period of time since it occurred, sentence for violation) and its relationship to the job for which the individual is applying. Three letters of rehabilitation and reference are submitted on behalf of the applicant. With this information, staff will determine if the applicant may proceed with testing or not. If so, the test is scheduled. If not, a letter is forwarded stating the decision not to proceed with testing, which the applicant may appeal within thirty days to the Personnel Board.	Series contains: letters of reference; (copy) of application; form for division director and cabinet attorney to approve	Agency: 3 Destroy	Records Center:	Archives Center:
04254	Fingerprint File	This series documents the fingerprint identification of an applicant that did not have proper identification to take an examination. Proper identification would be a driver's license or student identification, something with an identifying picture and social security number.	Series contains: name; address; date of birth; fingerprints; date of test; signature of applicant	Agency: 3 Destroy	Records Center:	Archives Center:

STATE AGENCY RECORDS RETENTION SCHEDULE

Personnel Cabinet
Personnel Administration
Staffing Services
Staffing Analysis

Retention

Series	Records Title and Description	Function and Use	Contents	Disposition Instruction		
04255	Applicant Testing System (ATS) - (Master Card/Master List) (Electronic) (C) KRS 61.878 (1) (a) (V)	This series documents the complete record of an applicant's efforts to obtain state employment. It provides a history of each applicant who has or has not taken an examination. The system is built from test scores and test dates. The Automated Register System (04261) is dependent upon this system for its data. It will identify the counties in which an applicant is available to work. An applicant's name is entered into the system once they have signed in. Upon completion of the interview with a counselor, a determination is made of which test will be taken. The test is taken, and results are entered. The system will process letters instructing applicants when and where they must report to take an examination, letters of rejection, notice of results, veteran points, and/or a letter signifying that an application is incomplete in some manner and what is needed for completion. The system documents an applicant's efforts to improve his score by reflecting each time a test is taken. Reference to the system is high during the period that the individual's score is valid on the register. The life of the register is two years (see KRS 18A.110 (7) (d)).	Series contains: applicant's name; address; social security number; location of test site; counties willing to work; current status of work; any previous convictions; licenses or certificates; veteran points; location of test center; date; test score	Agency: 5	Records Center:	Archives Center:
				Retain active test scores on-line for two years. Transfer to tape for remaining three years		

STATE AGENCY RECORDS RETENTION SCHEDULE

Personnel Cabinet
Secretary

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
04414	Official Ballot for Personnel Board Member(s) - (Results are certified in a report from the impartial third party to the Commissioner)	This series documents the election of two classified employees to fill positions on the Personnel Board, scheduled every four years. Pursuant to KRS 18A.0551, employees who wish to be candidates must notify the Cabinet before June 1. A ballot listing the names of all candidates and two envelopes (an inner and outer envelope) are mailed to state employees. The Cabinet selects an impartial third party (ITP) to receive, validate, and tabulate all returned ballots. The ITP certifies to the Cabinet the total number of ballots received, those included and not included in the tabulation, and total votes for each candidate. Once the ballots are counted and the election is certified, they are returned with both envelopes (sent to voters/employees) to the Cabinet. The two candidates receiving the greatest number of votes are declared the successful candidates, and are notified of such within five working days after the election. Successful candidates take office immediately upon notification.	Series contains: ballots with inner and outer envelopes	Agency: 60 days	Records Center:	Archives Center:
				Destroy		
04536	Equal Employment Opportunity Report File (UPPS Printout) (N) NA	This series documents the employment statistics that certify the department's hiring practices against discrimination based on race, sex, nationality, religion, age, or disability are in compliance with appropriate federal regulations. Under Public Law 88-352, Title VII of the Civil Rights Act of 1964, the state is required to keep records and make reports to the Equal Employment Opportunity Commission (EEOC). The report is an annual report providing statistical data on the state's employment as of the previous fiscal year. The data include the geographical distribution as well as distribution by race and sex of employees. The report reflects EEOC-defined job categories, and salaries within those categories. Each year the DOP prepares the report for state agencies and the federal government. A copy of the report is included with federal grant applications to verify compliance of federal EEO requirements. The report is extracted from the Uniform Payroll/Personnel System (UPPS) (04523).	Statistics reflecting applicants hired in compliance with federal regulation based on gender, race, disability, religion, etc.; Monthly salary rate; Sex; Race	Agency: 5 years	Records Center: NA	Archives Center: NA
				Destroy after audit		